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Date June 29, 2005 Client-Matter 74622-015

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3

Fax Transmittal

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Fax No.: 703-872-9306

Company: United States Patent and Trademark Office - Group Art Unit 3624 Voice No.: (571)272-6743

## Message

Re: Inventor : Thomas C. Naratil  
Serial No. : 09/688,392  
Filing Date : October 16, 2000  
Title : SYSTEM AND METHOD FOR TRADING TAXABLE AND NON-  
TAXABLE SECURITIES  
Att'y Docket : 74622-015

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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<b>POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</b>	Application Number	09/688,392	
	Filing Date	October 16, 2000	
	First Named Inventor	Thomas C. Narath	
	Title	SYSTEM AND METHOD FOR TRADING TAXABLE AND NON-TAXABLE SECURITIES	
	Art Unit	3624	
	Examiner Name	Lafita M. Hamilton	
	Attorney Docket Number	74622-015	

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☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/06)

SIGNATURE of Applicant or Assignee of Record

Signature	Date
	6/22/05
Name	Telephone
Gregg I. Goldman	203.719.3099
Title and Company	
Director and Senior Counsel, UBS Financial Services, Inc.	

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of \_\_\_\_\_ forms are submitted.

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## STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Thomas C. NarathApplication No./Patent No.: 09/688,392 Filed/Issue Date: October 16, 2000Entitled: **SYSTEM AND METHOD FOR TRADING TAXABLE AND NON-TAXABLE SECURITIES**UBS Financial Services, Inc. a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
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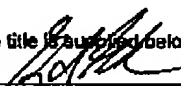
- A ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
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- B ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is indicated below) is authorized to act on behalf of the assignee.

  
Signature  
Gregg J. Goldman  
Printed or Typed Name  
Director and Senior Counsel, UBS Financial Services, Inc.  
Title

6/22/05  
Date  
703 719 3099  
Telephone Number

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